

STATEMENT UNDER 37 C.F.R. § 3.73(b)

Applicants: Douglas E. Brenneeman and Catherine Y. Spong

Application No.: 09/936,888

Filed: September 3, 2002

For: Prevention of Fetal Alcohol Syndrome and Neuronal Cell Death with ADNF Polypeptides

The Government of the United States of America
as represented by the Secretary of the Department
of Health and Human Services

, a government agency

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

certifies that it is assignee of the patent application identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel 021318, Frame(s) 0036-0041, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application identified above, to the current assignee as shown below:

1. From: _____ To: _____

The document was recorded in the Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

2. From: _____ To: _____

The document was recorded in the Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

3. From: _____ To: _____

The document was recorded in the Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

The undersigned (whose title is supplied below) is empowered to act on behalf of the assignee.

I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are believed to be true; and further, that these statements are made with the knowledge that willful false statements, and the like so made, are punishable by fine or imprisonment, or both, under Section 1001, Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Date : May 5, 2010
Name : Patrick P. McGee
Title : Processing & Patenting Manager, OIT, N.I.H.
Signature: Patrick P. McGee

Reg. No. 65,898

D:ANNETTE S. PARENT COMPAN. TOWNSEND AND TOWNSEND AND EW LLP

ASPC



015280-8377100US

UNITED STATES PATENT AND TRADEMARK OFFICE

UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICETOWNSEND TOWN
& CREW

500607779A

JULY 30, 2008

PTAS

AUG 05 2008

ANNETTE S. PARENT
TOWNSEND AND TOWNSEND AND CREW LLP
TWO EMBARCADERO CENTER, 8TH FLOOR
SAN FRANCISCO, CA 94111UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 571-272-3350. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, MAIL STOP: ASSIGNMENT SERVICES BRANCH, P.O. BOX 1450, ALEXANDRIA, VA 22313.

RECORDATION DATE: 07/30/2008

REEL/FRAME: 021318/0036

NUMBER OF PAGES: 6

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).
DOCKET NUMBER: 015280-377100US

ASSIGNOR:

SPONG, CATHERINE Y.

DOC DATE: 09/11/2001

ASSIGNOR:

BRENNEMAN, DOUGLAS

DOC DATE: 08/24/2001

ASSIGNEE:

THE GOVERNMENT OF THE UNITED
STATES OF AMERICA AS REPRESENTED
BY THE SECRETARY OF THE
DEPARTMENT OF HEALTH AND HUMAN
SERVICESNATIONAL INSTITUTE OF HEALTH
OFFICE OF TECHNOLOGY TRANSFER
6011 EXECUTIVE BOULEVARD, SUITE
325
ROCKVILLE, MARYLAND 20852-3804

KLB

ANNETTE S. PARENT COMPAN TOWNSEND AND TOWNSEND AND LEW LLP

021318/0036 PAGE 2

SERIAL NUMBER: 09936888

FILING DATE: 09/03/2002

PATENT NUMBER:

ISSUE DATE:

TITLE: PREVENTION OF FETAL ALCOHOL SYNDROME AND NEURONAL CELL DEATH WITH
ADNF POLYPEPTIDES

ASSIGNMENT SERVICES BRANCH
PUBLIC RECORDS DIVISION

PATENT ASSIGNMENT

Electronic Version v1.1

Stylesheet Version v1.1

SUBMISSION TYPE:	NEW ASSIGNMENT						
NATURE OF CONVEYANCE:	ASSIGNMENT						
CONVEYING PARTY DATA							
<table border="1"><thead><tr><th>Name</th><th>Execution Date</th></tr></thead><tbody><tr><td>Catherine Y. Spong</td><td>09/11/2001</td></tr><tr><td>Douglas Brenneman</td><td>08/24/2001</td></tr></tbody></table>		Name	Execution Date	Catherine Y. Spong	09/11/2001	Douglas Brenneman	08/24/2001
Name	Execution Date						
Catherine Y. Spong	09/11/2001						
Douglas Brenneman	08/24/2001						
RECEIVING PARTY DATA							
Name:	The Government of the United States of America as represented by the Secretary of the Department of Health and Human Services						
Street Address:	National Institute of Health Office of Technology Transfer						
Internal Address:	6011 Executive Boulevard, Suite 325						
City:	Rockville						
State/Country:	MARYLAND						
Postal Code:	20852-3804						
PROPERTY NUMBERS Total: 1							
<table border="1"><thead><tr><th>Property Type</th><th>Number</th></tr></thead><tbody><tr><td>Application Number:</td><td>09936888</td></tr></tbody></table>		Property Type	Number	Application Number:	09936888		
Property Type	Number						
Application Number:	09936888						
CORRESPONDENCE DATA							
Fax Number:	(415)576-0300						
<i>Correspondence will be sent via US Mail when the fax attempt is unsuccessful.</i>							
Phone:	9254725000						
Email:	jmkelly@townsend.com						
Correspondent Name:	Annette S. Parent						
Address Line 1:	Townsend and Townsend and Crew LLP						
Address Line 2:	Two Embarcadero Center, 8th floor						
Address Line 4:	San Francisco, CALIFORNIA 94111						

ATTORNEY DOCKET NUMBER:	015280-377100US
NAME OF SUBMITTER:	Jessie M. Kelly
Signature:	/Jessie M. Kelly/
Date:	07/30/2008
Total Attachments: 4 source=Assignment Breeneman and Spong to NIH#page1.tif source=Assignment Breeneman and Spong to NIH#page2.tif source=Assignment Breeneman and Spong to NIH#page3.tif source=Assignment Breeneman and Spong to NIH#page4.tif	
RECEIPT INFORMATION EPAS ID: PAT621599 Receipt Date: 07/30/2008 Fee Amount: \$40	

ASSIGNMENT

JOINT

WHEREAS, We, **Douglas E. Brenneman** of 10601 Santa Anita Terrace, Damascus, Maryland, a citizen of the United States; **Catherine Y. Spong** of 3857 North Rixey Street, Arlington, Virginia, a citizen of the United States; **Illana Gozes** of 14 Hamel Street, Ramat Hasharon, Israel, a citizen of Israel; **Merav Bassan** of 15A Ziporen Street, Givat Poleg, Natania, Israel, a citizen of Israel; and **Rachel Zamostiano** of 17 Yeshuron Street, Hod Hasharon, Israel, a citizen of Israel; all inventors being employees of the Department of Health and Human Services at the time the invention was made, have invented: **PREVENTION OF FETAL ALCOHOL SYNDROME AND NEURONAL CELL DEATH WITH ADNF POLYPEPTIDES**, for which an application to the Assistant Commissioner for Patents for grant of Letters Patents of the United States of America has been executed by the undersigned

☒ on (date(s) Declaration signed):

☒ is identified as U.S. Patent Application:

Serial No. 09/936,888

09/12/01

Filed ; and

WHEREAS, the conditions under which said invention was made are such as to entitle the Government of the United States of America under Paragraph 1(a) of Executive Order 10096, to the entire right, title, and interest herein, both domestic and foreign; and

WHEREAS, the Government of the United States of America is desirous of acquiring all domestic and foreign right, title, and interest in the aforesaid invention described in the aforesaid application for Letters Patent of the United States of America; and

NOW, THEREFORE, to all whom it may concern, be it known that for and in consideration of the premises and other valuable considerations, we the undersigned, have sold, assigned, and transferred and by these presents do sell, assign, and transfer unto The Government of the United States of America as represented by the Secretary of the Department of Health and Human Services (hereinafter THE GOVERNMENT), and his successors, the full and exclusive right, title, and interest throughout the United States of America, its territories and dependencies, and within each and every foreign country in which THE GOVERNMENT elects to file the invention described in the aforesaid application for Letters Patent of the United States of America, and all Letters Patents and Registrations which may be granted on the same in the United States of America and all countries throughout the world, and to claim the priority from the application as provided by the

Paris Convention, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

AND, we hereby authorize and request the Assistant Commissioner for Patents to issue said Letters Patent to THE GOVERNMENT as assignee of the entire right, title, and interest in and to the same throughout the United States of America, its territories and dependencies, and within each and every foreign country in which THE GOVERNMENT elects to file, for the sole use for the full term or terms for which said Letters Patent and Registrations may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof which may be granted as fully and entirely as the same would have been held by us, had this assignment not been made;

AND, we hereby warrant that there are no outstanding assignments, grants, liens, encumbrances, or agreements either written, oral, or implied with respect to the aforesaid application for Letters Patent which will impair, diminish, limit, or abridge the interest herein conveyed at the time of the execution of this instrument by us;

AND, we hereby agree to execute any and all applications for Letters Patent in the United States of America and foreign countries, and to furnish and deliver to the Secretary, Department of Health and Human Services, upon request, all data and documents, and to execute any papers which may be necessary for the prosecution of any application or applications of Letters Patent or for THE GOVERNMENT to exercise its rights granted hereunder, including communicating to THE GOVERNMENT, its representatives or agents, any facts relating to said invention, including evidence for interference purposes, or for other proceedings, whenever requested, to testify in any interference or other proceedings, whenever requested, and to execute and deliver on request all lawful papers required to make any of the foregoing provisions effective, and likewise make these provisions binding upon our heirs, legal representatives, administrators and assigns, and we shall assist THE GOVERNMENT in every way as may be requested in protecting said invention, provided that any expense of extending such assistance shall be paid by THE GOVERNMENT.

The undersigned hereby grants THE GOVERNMENT or the law firm of Townsend and Townsend and Crew LLP, the power to insert on this Assignment any further identification which may be necessary or desirable in order to comply with the rules of the United States Patent and Trademark Office for recordation of this document.

Catherine Y. Spong

9.11.01
(Date)

STATE OF Maryland)
COUNTY OF Montgomery)

On September 11, 2001 before me, Trudy C. Welsh (here insert name and title of the officer), personally appeared Catherine Y. Spong, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, execute the instrument.

WITNESS my hand and official seal.

Signature

Trudy C. Welsh
My Commission Expires

May 1, 2003

(Seal)

IN TESTIMONY WHEREOF, Assignors have signed their names on the dates indicated.

Douglas E. Brenneman
Douglas E. Brenneman

8/24/01
(Date)

STATE OF Maryland

COUNTY OF Montgomery

UNITED STATES OF AMERICA

On August 24, 2001, before me, Trudy C. Welsh, Notary Public (here insert name and title of the officer), personally appeared Douglas E. Brenneman, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, execute the instrument.

WITNESS my hand and official seal.

Signature

Trudy C. Welsh
Notary Public
My Commission Expires
May 1, 2003

(Seal)